

CDOT APPLICATION INSTRUCTIONS

AND GRANT GUIDELINES



**FOR
2010–2011
FTA GRANT
ASSISTANCE**



**APRIL 2009
REVISED MAY 2010**

TABLE OF CONTENTS

2 Table of Contents	36 ... Capital Explanation and Discussion
3 General Instructions and Background	36 .. Information Regarding Public Involvement: Application to CDOT using FTA Funds for Capital Projects
3 Frequently Asked Questions 38 .. Capital Requests
5 Application Submittal	44 ... Eligible Projects for FTA Grants
6 For the 2010–2011 Application Update Submittal Requirements	44 .. Eligible Capital Requests for Section 5310
8 Capital Requests 45 .. Eligible Projects for Section 5311
8 Instructions and Technical Assistance 46 .. Eligible Projects for Section 5316
9 Grant Timeline 47 .. Eligible Projects for Section 5317
9 Grant Type Determination 50 .. Eligible Projects for Mobility Management
9 Grant Funding Availability	51 ... The Application, Step-by-Step
10.... Grant Application Checklist	51 .. Instructions for Section A Application Section for All Applicants
11.... Grant Program Goals	53 .. Section B, for FTA Section 5310
11 .. Section 5310	54 .. Section C, for FTA Section 5311
11 .. Section 5311	57 .. Section D, Application Instructions for Section 5311(f), Intercity Bus
11 .. Section 5311(f), ICB	59 .. Sections E (JARC) and F (New Freedom) Application Instructions
11 .. Section 5316, JARC	63 ... Americans with Disabilities Act
11 .. Section 5317, New Freedom	68 ... Coordinated Human Services-Transportation Planning
11 .. Mobility management: A New Role for Public Transit	73 ... Low Income Eligibility and Welfare Recipient Information
17 Federal and Local Match Requirements	74 .. Civil Rights
.... 17.. Match Overview	75 ... Equal Employment Opportunity (EEO)
.... 18.. Section 5310 Match Requirements for Capital	76 ... Disadvantaged Business Enterprise (DBE)
.... 18.. Section 5311 Match Requirements	77 ... National Transit Database (NTD)
.... 19.. Section 5316 and 5317 Match Requirements	80 ... Drug and Alcohol Testing
.... 20.. Mobility Management Match Requirements	83 ... Definitions
.... 20.. Federal Regulations for Match, In-Kind, and Cost Sharing	93 ... Certificates and Assurances
24.... Eligibility and Project Selection	
.... 24.. Organizational Eligibility	
.... 24.. Project Selection Overview	
.... 25.. Project Selection Criteria	
.... 28.. Sections 5310 and 5311 Evaluation Criteria	
.... 32.. Sections 5316 and 5317 Evaluation Criteria	
.... 33.. Sections 5310 and 5311 Project Selection	

GENERAL INSTRUCTIONS AND BACKGROUND

These are the instructions and guidelines for completing a 2010–2011 grant application to the Colorado Department of Transportation (CDOT) for Federal Transit Administration (FTA) funds. This application is the only opportunity to apply for funding from the FTA Section 5310, 5311, 5316 (Job Access and Reverse Commute (JARC)), and 5317 (New Freedom) grant programs for 2010 and 2010. There will be no other opportunities to apply for funds for those years.

The complete application package includes these instructions and guidelines and the application forms. This year we've moved much of the application into MSWord documents that you can fill out and email back to CDOT. A portion of the application, the Agency Profile, will remain online.

To complete an application, you will be required to complete the Agency Profile, the Capital Inventory, and any capital requests, then "Section A, Application Section for All Applicants," and then one or more sub-applications that are specific to the grant you're applying for. More on this later.

If you are a new applicant requesting funding under JARC (5316) and/or New Freedom (5317), call the Transit Unit before you get very far into your application(s) to make sure your project is *eligible* (Refer to the section "Eligible Projects for FTA Grants in these application instructions.). (See enclosed materials for staff contacts for each of the FTA programs.)

Furthermore, if you are a new applicant, please read the sections below for an overview of FTA, the Transit Unit, and the grant structure.

All subrecipients must complete the online Agency Profile and Capital Inventory sections of the database in order for an application to be complete and to be reviewed!

Frequently Asked Questions

Can an Agency Apply Through Another Agency's Application?

Generally, **yes**. It is not uncommon for two agencies that work together cooperatively in the same basic geographical area to have the "lead agency" apply for a vehicle(s) for the other agency (the other agency will be considered a subcontractor or sub-applicant).

For example, if the request was for vehicles, the lead agency can either own the vehicles and lease them to the subcontractor, or the lead agency can ask CDOT to contract directly with the subcontractor. In the latter case, the subcontractor becomes a grantee of CDOT, entering into a contract with CDOT and agreeing to all the basic conditions under the lead agency's application.

Sometimes this arrangement is used to enhance the look of an agency's transportation coordination efforts, though doing so requires evidence of actual service coordination, not just an arrangement on paper.

When Must a Project Start?

Projects that receive operating funds are typically expected to initiate service on or about January 1st of the applicable calendar year. However, work can't be billed against a contract until that contract is fully executed. In recent years, there has been some delay having executed contracts available by January 1.

Capital projects are similar: ***grantees cannot procure capital equipment until a contract between the State of Colorado and the grantee is executed and procurement procedures are agreed upon.***

Once the contract between CDOT and the grantee are fully executed, the bidding process begins. Six months can transpire from the time the contract is executed, bid, and delivered. If part of a project depends on delivery

of a vehicle, CDOT would not expect that portion of the project to start in January.

Can a Private, Commercial, For-Profit Organization (e.g., a Taxi or Charter Operator) Apply for These FTA Funds?

No—with one exception. Under Colorado's Rules for the FTA programs, commercial entities can apply for and receive Section 5311(f) Intercity Bus program funds, but they cannot apply for any of the other program funds. Private, commercial, for-profit organizations cannot be direct recipients of these funds, but they can subcontract with eligible recipients through service contracts.

Can CDOT Give New Applicants More Time to Complete the Application?

No. CDOT provides at least 45 days to complete the application. Everyone plays by the same rules with the same deadline. Applicants should get started early in case they encounter any problems.

How Can We Avoid Some of the Most Common Problems Applicants Encounter?

- ✱ Allow enough time to work on it!
- ✱ Allow enough time to get board of director's approval to submit the application.



Grantees may not procure capital equipment until a contract between the State and the grantee is executed and procurement procedures are agreed upon.

Grantees may also not bill against operating expenses until a contract between the State and the grantee is fully executed!

- ✱ Save data as it's entered.
- ✱ Answer the questions that are asked.
- ✱ Write clearly and plainly, be brief, objective, and don't embellish.

Role of FTA, CDOT, and Grantees; Procedure for Requesting JARC or New Freedom Funds

The Federal Transit Administration provides funding for transit services through various grant programs. FTA funds public transportation services in Urbanized Areas (UZAs), areas over 50,000 in population, by providing Section 5307 funds directly to the "designated recipients" of those funds (usually the sponsor of the public transportation system).

FTA provides funding for *rural* public transportation (under 50,000 population) by providing Section 5310 and 5311 formula funding to the states (states are considered the "designated recipients" for the program). States must conduct a statewide competitive application process to determine where the funding will go and to ensure that it and the local subrecipients (grantees) follow federal laws and regulations. Once the states select who will receive the funding, the state contracts with the local grantees.



Under the JARC and New Freedom programs, however, CDOT is the designated recipient *only for rural areas and small UZAs*. Those who propose a JARC or New Freedom project in a rural area or small UZA will apply to CDOT.

Colorado's small UZAs are Boulder, Grand Junction, Greeley, Longmont, Louisville/Lafayette, and Pueblo.

If you are proposing a JARC or New Freedom project in a large UZA, you *cannot* apply to CDOT. You must apply to the designated recipient for your area. Check with your Metropolitan Policy Organization (MPO) if you're unsure who is the designated recipient.)

Colorado's large UZA's are the Colorado Springs, Denver-Aurora, and Fort Collins.

APPLICATION SUBMITTAL

-  **Applications** are due on or before **Monday, JUNE 28, 2010, by 5:00 P.M. NO EXCEPTIONS!** Supporting materials, such as signature pages, certificates, and assurances, which complete the application, must be postmarked or delivered by the **JUNE 28 deadline.**
-  You will submit most of the application electronically, some of it will be submitted online through the Transit Unit database and some of it will be submitted via email (to Sylvia.labrucherie@dot.state.co.us). However, a complete application includes attachments—*documents that must have original signatures*—which you must mail or deliver to CDOT. CDOT will not accept faxed or emailed copies of signature pages. You can find all the certificates and assurances at the end of Section 6 of the Application Instruction and Guidebook at www.dot.state.co.us/App_transit/.







For Postal Delivery:

Sylvia Labrucherie, Grant Coordinator
Division of Transit and Rail
Colorado Department of Transportation
SHUMATE BLDG
4201 E ARKANSAS AVE
DENVER CO 80222

For Hand Delivery:

The easiest way to find the Shumate building is to go to the east side of the CDOT headquarters building at 4201 E Arkansas. Enter the complex on the south side of the big parking lot. The Shumate Building is in the northeast corner of the property, just north of the radio tower.

IMPORTANT NOTES!

	You MUST complete or update your Agency Profile and Capital Inventory before submitting the application update or new application. Applications will not be reviewed until the Agency Profile has been updated! Access the Agency Profile and Capital Inventory online at the Transit Unit website.
	If you are updating your capital request: <ul style="list-style-type: none"> Submit an updated Capital Equipment Request form under the “Agencies” tab on the Transit Unit website if you are requesting capital equipment for 2011. Go to the original 2010 request page to update the information. Check to see if your 2011 request is still what you want. Submit an updated Vehicle Inventory at this time.
	If you are making a capital request under any of the grant programs, you must make the request through the online database under “Capital Equipment Requests.” All requests must be completed and saved by the June 29 th deadline.
	If you are an INTERCITY BUS APPLICANT , complete Section A and D of the application. You must ALSO complete the document entitled “5311(f) Intercity Bus Application for New Projects,” which is located on the Transit Unit’s home page.
	If you are a human-service transportation provider and are unsure if your proposed Section JARC or New Freedom project is part of a local, coordinated human services-transportation plan, contact John Valerio at 303-757-9769.
	If you are applying for funds for a construction project, you must have National Environmental Policy Act (NEPA) documentation completed. Contact Ann Beauvais at 303-757-9767 for information.

FOR THE 2010–2011 APPLICATION UPDATE

Application Format

The application and application update exists on two platforms: through the online database and as forms you can fill in through Microsoft Word. The online sections request information about your *program*, while the fillable form application asks information about the *project* you're seeking funding for. Your specific funding request is a *project*. You're requesting capital funding for a bus, for example, or operating funds for a particular route. (In some cases, an agency's project is its program.)

The Online Database

You will access the online portion through the Transit Unit website at www.dot.state.co.us/AppTransit. From there, log in (if you are a new applicant, contact Ann Beauvais at 303-757-9767, for a user name and password). Select the Agencies tab, then complete or update the Agency Profile, Existing Capital Inventory, and Capital Equipment Request sections.

You **MUST** complete these three sections if you are asking for any type of capital equipment, from any of the grant programs. CDOT won't accept your funding request without them. Period. If you are **NOT** requesting capital equipment, just update or complete the Agency Profile and Existing Capital Inventory sections.

Fillable Forms

The application for *project* funding is in Microsoft Word documents you will fill in electronically and email to

Sylvia.labrucherie@dot.state.co.us.

The application forms are on the Transit Unit website. **EVERYONE** applying for funding **MUST** complete Section A (2010AppUPSectA-All.dot). Each of these sections will open as

untitled documents you can fill in, save, and email when finished.

The remaining sections are specific to the grants you're applying for (see page 7). Fill out however many sections you're requesting FTA funds for. For example, if you're requesting capital out of Section 5310 and operating from 5311, you'd fill out Sections A, B, and C. If you're requesting funds from Sections 5311 and 5316, you'll fill out Sections A, C, and E.

File Naming Standard

As the MSWord forms are opened they are untitled documents. When you save the document for your use, please following the following naming convention:

2010AppUP-SectA-All-**XYZ**, where 2010AppUP-SectA-All is the original document name and XYZ is an abbreviation of your agency's name (e.g., NECALG, NFRMPO, SCOG, SRC, etc.).

More examples:

2010AppUP-SectC-5311-GLEN
2010AppUP-SectE-JARC-MESA
2010AppUP-SectG-MbMgt-SPEC

Capital Requests

New capital requests **ARE NOT** made in the fillable form/MS Word version of the application. Capital requests can **ONLY** be made under the "Agencies" tab on the Transit Unit website. (See the section in this guidebook regarding capital for further instruction on how to complete a new capital request. This section starts on page 36.)

Also, please note that CDOT no longer procures what CDOT defines as a "Type III" large body on chassis vehicle. CDOT still considers funding requests for these types of vehicles, but grantees must be able to procure them at the individual agency level.

SUBMITTAL REQUIREMENTS

Applicants **MUST** update the Agency Profile and Capital Inventory sections on the Transit Unit website (www.dot.state.co.us/App_transit) by **June 28, 2010 at 5 P.M.**

The **ONLY** new applications being taken at this time will be for Sections 5311(f) Intercity Bus, , and New applicants must complete a new Agency Profile and Capital Inventory section of the grant application to CDOT. Contact Ann Beauvais at 303-757-9767 to set up your new account. **Send in all the required attachments!** We include everything that needs to be sent in.

Applicants must comply with CDOT planning requirements, including the local long-range transportation plan and local human service coordinated transportation plan (for 5310, 5316 (JARC), and 5317 (New Freedom) applicants). If you don't know if your project meets this requirement, contact Transit Planner John Valerio at 303-757-9769.

All applicants for funds **MUST** complete the Certificates and Assurances section of the application **AND** send *hard copy signatures* of these documents to CDOT by **June 28**.

Read this Application Instructions and Guidebook for important information, including certificates and assurances, explanations, step-by-step instructions, sample resolutions and contracts, and much more!

Send in all the required attachments! We include everything that needs to be sent in.

All applicants must complete Section A. The application has several sections (see the table below). Applicants for the individual grant programs must also fill out sections specific to the grant(s) for which they are applying.

NO APPLICATION WILL BE REVIEWED UNTIL THE AGENCY PROFILE AND CAPITAL INVENTORY ARE UPDATED OR CREATED!

SECTION OF APPLICATION	FTA GRANT	FTA GRANT TITLE	NAME OF SECTION WITHIN APPLICATION	FORMAT AND LOCATION
Agency Profile	—	—	Agency Profile, Capital Inventory, Capital Request	Online form through Transit Unit website
A	—	—	Application Section for All Applicants 2010AppUPSectA-All.doc	Fillable forms, MS Word documents. Obtain online through Transit Unit website. Return via email to: Sylvia.labrucherie@dot.state.co.us
B	Section 5310	Transportation for Elderly Persons and Persons with Disabilities; the Rural and Small Urban Area Program	Evaluation Narrative for Section 5310 2010AppUPSectB-5310.doc	
C	Section 5311	Rural and Small Urban Area Program	Narration and Scope of Work for Section 5311 2010AppUPSectC-5311.doc	
D	Section 5311(f)	Intercity Bus	Information Required for 5311(f) Applicants 2010AppUPSectD-ICB.doc	
E	Section 5316	Job Access and Reverse Commute (JARC)	Information Required for 5316 Applicants 2010AppUPSectE-JARC.doc	
F	Section 5317	New Freedom	Information Required for 5317 Applicants 2010AppUPSectF-NewF.doc	
G	Mobility Management under Sections 5310, 5316, and 5317		Mobility Management 2010AppUPSectG-MoMgt.doc	

CAPITAL REQUESTS

New capital requests CAN ONLY be made under the “Agencies” tab on the Transit Unit website. Go under the “Agencies” tab to the “Capital Equipment Requests” choice. In this section, you will need to record any capital requests to these screens. See the section in this guidebook regarding capital for further instruction on how to complete a new capital request. This section starts on page 36.

Also, please note that any request for what CDOT defines as a “III” (25-35 passenger Type) large body on chassis vehicle is NO LONGER procured by CDOT for the 2010–2011 grant cycle. CDOT still considers funding requests for these types of vehicles, but grantees must be able to manage the procurement of this vehicle request at an individual agency level.

INSTRUCTIONS AND TECHNICAL ASSISTANCE

CDOT’s Transit Unit staff designed the *Application Instructions and Grant Guidelines* to give you the information and resources you need to complete the application (it’s available online at www.dot.state.co.us/App_transit). The Instructions and Guidebook contain complete instructions for all forms, assurances, attachments, as well as other reference information.

You may ask for individual assistance before you submit the application. Contact one of the Transit Unit Grant Managers at the numbers listed below.

Technical assistance provided by the Department does not guarantee the application will meet the requirements necessary or that the request will be funded.

Section 5310	Ann Beauvais Transit Specialist	303-757-9767	ann.beauvais@dot.state.co.us
Section 5311	Matt Paswaters Grants Coordinator	303-757-9771	mattew.paswaters@dot.state.co.us
Section 5311(f)	John Valerio Transit Planner	303-757-9769	john.valerio@dot.state.co.us
Section 5316; Section 5317	Sylvia Labrucherie Grants Coordinator	303-512-4045	sylvia.labrucherie@dot.state.co.us
—	Eric Ellis, Transit Unit Manager	303-757-9766	eric.t.ellis@dot.state.co.us

2010 GRANT TIMELINE

JUNE 28, 2010	Application Update and new applications (intercity bus, JARC, and New Freedom only) for 2010–2011 are due by 5:00 P.M. Postmark or deliver submittals and attachments on or before.
JULY–SEPTEMBER	CDOT and the Interagency Review Committees review applications.
SEPTEMBER 14–17	CDOT announces awards at the CASTA/CDOT Fall Conference. Typically, agencies awarded funds for the following year are required to attend a grantee workshop on the last day of the conference.
SEPTEMBER–DECEMBER	CDOT develops contracts and routes documents for approval.
JANUARY 2011	Agencies begin projects after contracts are fully executed. The capital procurement process usually begins in January.

GRANT TYPE DETERMINATION

The table below summarizes how the Federal Transit Administration intends program funds be used. This table will help you determine what grant(s) to apply for.

WHAT FUNDS CAN BE USED FOR						WHO FUNDS ARE TARGETED TO		
GRANT NAME	CAPITAL		OPERATING	ADMINISTRATIVE	PLANNING	CLIENT TYPE		
	Vehicles/ Rolling Stock	Other Capital				General Public	Elderly/ Disabled	Low Income
5310	Yes	Yes	No	No	No	No	Yes	No
5311	Yes	Yes	Yes	Yes	No	Yes	No	No
5316 (JARC)	Yes	Yes	Yes	Yes	Yes	Yes	No	Yes
5317 (New Freedom)	Yes	Yes	Yes	No	No	No	Yes	No

FUNDING AVAILABILITY

Congress has not reauthorized transportation funding, so funding amounts are not yet available. Funding levels from 2010 through 2015 are assumed to be at least as much as, if not more than, previous years. The funding level for 2011 is estimated in the tables below.

RURAL, NON-URBANIZED AREAS	
GRANT	2009
5310	\$ 1,680,952
5311	\$ 8,329,961

SMALL URBANIZED AREAS	
GRANT	2011
5316 (JARC)	\$ 551,795
5317 (New Freedom)	\$ 328,201

RURAL AREAS	
GRANT	2011
5316 (JARC)	\$ 311,454
5317 (New Freedom)	\$ 210,023

GRANT APPLICATION CHECKLIST

Check the boxes below after you've completed the items. Submit the applicable attachments with this Checklist to: Sylvia Labrucherie, Transit Unit/Division of Transportation Development, CDOT, SHUMATE BLDG, 4201 E ARKANSAS AVE, DENVER CO 80222.

Submittals and attachments that are hard-copy, paper documents must be postmarked or hand delivered NO later than June 28, 2010, at 5:00 PM.

ALL APPLICANTS

<input type="checkbox"/>	1	Agency Profile, Capital Inventory, and Capital Request.
<input type="checkbox"/>	2	Correct, verified application and attachment information.
<input type="checkbox"/>	3	All federal certifications and assurances signed by the proper legal authority. <i>Follow the checklist for mandatory and program-specific assurances</i>
<input type="checkbox"/>	4	Current IRS Form W-9: for applicants who have never received FTA funding from CDOT (see Transit Unit website for link.) <i>New applicants only.</i>

5310 APPLICANTS

<input type="checkbox"/>	1	Copies of Purchase of Service/Interagency Coordination Agreements. <i>Submit any formal copies of agreements that document coordination.</i>
<input type="checkbox"/>	2	Confirmation of IRS 501(c)(3) status—if nonprofit agency new applicant to CDOT.
<input type="checkbox"/>	3	Three copies of letter submitted to organizations in TPR, <i>if applying as the local public body, no nonprofit available.</i>
<input type="checkbox"/>	4	Three copies of legal notice printed in newspaper, <i>if applying as the local public body, no nonprofit available.</i>

5311 APPLICANTS

<input type="checkbox"/>	1	Project Budget
<input type="checkbox"/>	2	In-Kind Match Report (See section on federal and local match requirements)
<input type="checkbox"/>	3	Current bus schedule and fare information (for public transit operations)

5311(f) APPLICANTS

<input type="checkbox"/>	1	Service Schedule
<input type="checkbox"/>	2	Financial statement that supports the budget for the project.
<input type="checkbox"/>	4	Current bus schedule and fare information (for public transit operations)

5316 (JARC) and 5317 (New Freedom) APPLICANTS

<input type="checkbox"/>	1	Project Budget
<input type="checkbox"/>	2	In-Kind Match Report (See section on federal and local match requirements)
<input type="checkbox"/>	3	Current Copies of Purchase of Service/Interagency Coordination Agreements. <i>Submit any formal copies of agreements that document coordination</i>
<input type="checkbox"/>	4	Letters of Support for the Project (<i>Optional, from organizations directly related to project purpose</i>)

GRANT PROGRAM GOALS

Passage of the most recent transportation reauthorization bill made a number of changes that affect transit providers. That authorizing legislation, the Safe, Accountable, Flexible, Efficient, Transportation Equity Act: A Legacy for Users (SAFETEA-LU, Pub. L. 109–059), was enacted on August 10, 2005. The legislation provides “guaranteed funding” for federal transportation programs over six years through Federal Fiscal Year 2009.

Under SAFETEA-LU (49 CFR, Subtitle III, Chapter 53, *Public Transportation*), the federal government states that “it is in the interest of the United States...to foster the development and revitalization of public transportation systems that—

- maximize the safe, secure, and efficient mobility of individuals;
- minimize environmental impacts; and
- minimize transportation-related fuel consumption and reliance on foreign oil.”

CDOT encourages grant applicants to consider and to articulate how their proposed project or request meets the goals stated above *and* of the grant program(s) for which they are applying.

Section 5310

The goal of Section 5310, the Transportation for Elderly Persons and Persons with Disabilities Program, is *to improve mobility for the elderly and persons with disabilities*.

Section 5310 provides financial assistance for capital purchases for transportation services planned, designed, and carried out to meet the special transportation needs of the elderly and persons with disabilities. The program requires coordination of federally-assisted programs and services in order to make the most efficient use of federal resources.

CDOT and FTA encourages grant recipients to maximize the use of vehicles funded under the Section 5310 program. Purchase

of vehicles with 5310 funds must first meet the program-related transportation needs of the elderly and/or persons with disabilities. Then, vehicles may provide other transportation to meet the needs of the elderly or persons with disabilities, including other federal program or project needs identified in the grant application. The general public may ride the vehicles if seats are available and all passengers are insured.

Vehicles funded under the Section 5310 program may not be used solely for meal deliveries. Vehicles may be used to provide meal delivery service for homebound persons on a regular basis—in conjunction with passenger transportation. Delivery service may not conflict with the provision of transit services or result in reduced service to transit passengers.

Section 5311

Section 5311, the Rural and Small Urbanized Areas Program, provides financial assistance for *public* transportation programs in non-urbanized (rural) areas. Funds may be used for operating, administrative, or capital expenses. The goals of the program are to:

- enhance the access of people in nonurbanized areas to health care, shopping, education, employment, public services, and recreation;
- assist in the maintenance, development, improvement, and use of public transportation systems in rural and small urban areas;
- encourage and facilitate the most efficient use of all federal funds used to provide passenger transportation in nonurbanized areas through the coordination of programs and services;
- assist in the development and support of inter-city bus transportation; and
- provide for the participation of private transportation providers in nonurbanized transportation as much as possible.

FTA defines eligible service areas for the rural 5311 program as those areas outside urbanized areas. Public transportation is defined to mean transportation by a conveyance that provides regular and continuing, general, or special transportation to the public, but does not include school bus, charter, or sightseeing transportation. Incidental use of a Section 5311 vehicle for non-passenger transportation on a regular basis (i.e., for package delivery or meal delivery services) must not result in a reduction of service quality or availability of public transportation service. Operating costs attributable to these services should be borne by non-FTA program funds.

Section 5311-funded services may be designed to maximize use by members of the general public who are transportation disadvantaged, including elderly persons and persons with disabilities. The FTA provides 5311 funds to help make transit services available to the general public, not to substitute funding for clients to access human services under programs of the Department of Health and Human Services and other federal agencies. When a transit provider contracts to provide trips for other programs, the transit provider should recover at least the incremental costs, if not the fully allocated costs of providing the trip.

Section 5311(f)

Section 5311(f), Intercity Bus, encourages fixed-route, over-the-road bus service that is regularly scheduled and serves the general public. ICB service typically operates with limited stops connecting two or more urban areas not in close proximity or connecting one or more rural communities with an urban area not in close proximity. ICB service has the capacity for transporting baggage carried by passengers and makes meaningful connections with scheduled ICB service to more distant points. FTA gives preference to private bus operators who lawfully have provided rural highway passenger transportation over the routes or within the general area of the project.

Section 5316 JARC

Section 5316, Job Access and Reverse Commute program, is intended to improve access to transportation services to employment and employment related activities for welfare recipients and eligible low-income individuals.

Funds may be for capital, planning, and operating expenses that support the development and maintenance of transportation services to transport low-income individuals to and from jobs and job-related activities.

The program requires participation in a human service transportation coordination plan.

Section 5317 New Freedom

Section 5317, New Freedom program, *seeks to expand the transportation mobility options available to persons with disabilities beyond the requirements of the Americans with Disabilities Act of 1990.*

New Freedom is a new federal program authorized in SAFETEA-LU *to provide additional tools to overcome existing barriers facing Americans with disabilities.* It is intended to fill the gaps between human service and public transportation services and to facilitate the integration of individuals with disabilities into the workforce and full participation in the community.

New Freedom funds are available for capital and operating expenses that support new (not existing *before* August 10, 2005) public transportation services and/or public transportation alternatives beyond those required by the ADA. Proposed projects must be both *new* and *beyond the requirements of the ADA.*

Mobility Management: A New Role for Public Transportation

Overview

Mobility Management became an eligible capital expense under the FTA sections 5310, 5316, and 5317 programs with the SAFETEA-LU reauthorization bill. The 5310 program circular, updated and released in May of 2007, states that Mobility Management is an eligible capital expense supported by up to 80 percent Federal participation. According to FTA, Mobility Management consists of short range planning and management activities and projects for improving coordination among public transportation and other service providers, to include personnel and technology activities.

Further definitions of Mobility Management includes:

1. Making *innovative use of the transit resources* to respond to the demands of customers through:
 - a. Providing non-traditional services
 - b. Implementing technologies that increase travel options or convenience
 - c. Providing information on all modes at a single call center or web portal
2. A transportation organization serving the general public that responds to and influences the *demands of the market* by undertaking actions and supportive strategies, directly or in collaboration with others, to provide a full range of options to the single-occupant vehicle.

Mobility Management is a general term for strategies that result in more *efficient* use of transportation resources, as opposed to increasing transportation system supply by expanding roads, etc.

The Federal Vision

(taken from William W. Millar, President, American Public Transportation Association (APTA), May 2008, written for a national audience)

Several years ago a series of studies were undertaken through the Transit Cooperative Research Program (TCRP) to identify what services future consumers of local transportation would want. TCRP's New Paradigms project, as it became known, laid out a new vision for transit operators. It identified a need for agencies to move into a broader transportation planning role in their communities—to serve as a single source for coordinating a full range of mobility options and informing customers accordingly. As I speak with and listen to transit and community leaders around the country, I find many transit agencies embracing this concept of mobility management.

Mobility management involves creating partnerships with transportation providers in a

“Agencies need to move into a broader transportation planning role in their communities, to coordinate a full range of mobility options and inform customers accordingly.”

community or region to enhance travel options, and then developing means to effectively communicate those options to the public. With this approach, resources can be coordinated efficiently, customers are able to make better decisions, and the focus is on enhancing customer service. Among its benefits, mobility management:

- Complements the traditional model of moving large numbers of people with one that meets the unique set of needs of each community
- Replaces the business strategy of exclusively managing owned assets with a strategy that encompasses customer-driven partnerships and alliances among multiple transportation providers with the goal of saving costs overall
- Relies on expanded partnerships and alliances with both public and private organi-

zations, and for-profit, not-for-profit, and community service providers

- Emphasizes, above all, multimodal rather than single-mode solutions

From a business perspective, mobility management offers greater efficiency in the use of transportation resources, with potential cost savings and increased service effectiveness—a combination that can be used to reduce bottom line operating costs, or increase services, or both.

Making the Business Case for Mobility Management

Denver, Colorado: RTD Provides Services “Closer to the Customer”

With a service area of more than 2.5 million people located in 2,327 square miles, Denver’s Regional Transportation District (RTD) has created mobility management services that are “closer to the customer” and more cost-effective than typical services. Enthusiastically embraced by the public, two of these programs—the vanpool program and the access-a-taxi program that provides an alternative to some ADA paratransit services—are saving RTD over \$2 million per year while providing access to increased numbers of people. RTD’s other mobility management programs include call-n-ride, bike-n-ride, and guaranteed ride home. Programs under development include additional taxi services, car sharing, feeder bus services to light rail, and transit-oriented land use developments.

Mobility management is a strategic approach to service coordination and customer service that is becoming a worldwide trend in the public transportation sector. The expectation is that, over time, transit agencies should move beyond the traditional role as operators of fixed-route service and assume a broader role in coordinating the full range of mobility services in their communities. Following are questions and answers about the opportunities and potential advantages for transit agencies in considering development and implementation of mobility management programs.

Frequently Asked Questions

Mobility management is a strategic approach to service coordination and customer service that is becoming a worldwide trend in the public transportation sector. The expectation is that, over time, transit agencies should move beyond the traditional role as operators of fixed-route service and assume a broader role in coordinating the full range of mobility services in their communities. Following are questions and answers about the opportunities and potential advantages for transit agencies in considering development and implementation of mobility management programs.

Q. Will more innovative and efficient uses of transit resources assist agencies to move beyond establishing and operating traditional fixed-route transit systems?

A. Yes—but not just transit agencies. The role of the mobility manager will be to organize and foster a network of diverse transportation services and providers to offer a full range of travel options for individual customers. This may seem foreign to the transit manager who is accustomed to moving masses on single mode fixed routes. It will take a shift in consciousness—an entrepreneurial spirit—to champion a planned and deliberate synergy of transit services with land use, infrastructure and population. Managers will have to be trained to be advocates for flexible and creative transportation solutions based on need.

Beyond that, we have to educate the public on the need for increased mobility and how transit agencies can provide that mobility. We will work with the private sector, human service providers, and nontraditional mobility providers to change institutional environments. And finally, we will need to implement transportation and land use policies that will encourage and fund all forms of mobility services.

Q. What are the components of a good mobility management program?

A. Since the mobility management model is one of customized delivery of transportation service, no two programs are alike.

Each program will be designed specifically for each unique community, with innovation as the driving force. That being said, some common elements will include:

- multiagency partnerships that can reduce costs through efficient and effective coordination; potential partners might include social service agencies, senior programs, non-emergency medical providers, and taxi companies in a customer-driven, market-based approach to transportation delivery that offers a variety of individualized travel options
- greater use of information technology systems in real time
- the development and implementation of one-stop travel information and trip planning systems
- traffic management strategies and coordination of public transportation with infrastructure development and land use policies

Q. Why would transit agencies that operate large buses and railcars want to be mobility managers?

A. Transit agencies need to maintain and expand their role in communities as the “go-to” source for transportation. Their job is not to move rolling stock, but to move people effectively, efficiently, and inexpensively. It makes good business and financial sense to provide better service for less money. The business world is replete with many examples of companies suffering mightily when they were late to recognize a paradigm shift. That’s the kind of challenge that faces us.

Q. What are some of the nontraditional transit services that might be involved in a mobility management program?

A. There are many non-traditional forms of transportation services that can be, and are, included in mobility management programs, including carpooling/vanpooling, volunteer drivers, hourly rental cars, travel training, travel vouchers for riders, and

real-time demand response services that include taxis and other providers.

Q. How widespread is this coordinated approach in other industries? Within the transit industry, what are some examples of successful, viable mobility management programs?

“It’s important that the transit industry look beyond the fixed route, and work to improve the operation of other transportation resources. A more recently recognized benefit is the reduction of carbon emissions through coordinated scheduling to reduce vehicle miles traveled.”

A. An example of the concept in use is the business practice of UPS, FedEx, and the US Postal Service. These companies all compete with each other, but they also

share delivery resources, making the customer the primary focus. Mobility management practices among transit and transportation providers would be similar. Some good examples of mobility management practices in the U. S. include Denver, Colorado, Portland, Oregon, and Southeastern Michigan. [Denver was further described in the “Business Case for Mobility Management” section.]

Q. How are customers better served as a result?

A. Customers can go to a single source to learn about their travel options and understand which work best for them. Through mobility management, customers will have a wider range of travel modes and trip prices. The overall result will be greater mobility for travelers, which in turn will stimulate increased economic activity and social interaction.

Q. How can transit systems save money and operate more efficiently as a result?

A. For transit agencies with mobility management programs, efficiencies of coordinated services result in operating budget savings. RTD in Denver reports that it saved nearly \$700,000 in its vanpool programs and \$1.5 million in taxi user-side subsidies; SMART in Southeastern Michigan saved \$2.7 million in its community programs; and Portland’s TriMet reports saving nearly \$2 million through the efficiencies of coordinated service.

Plus, improved customer service means additional riders and more satisfied customers.

Q. How can transit systems use new technologies to facilitate the implementation of mobility management programs?

A. Fortunately, information technology systems have advanced to the point where communities are now able to plan and match requests with real-time, state-of-the-art call center systems to facilitate mobility management.

Q. What are the institutional barriers to implementing mobility management? How can they be overcome?

A. The biggest institutional barrier is the status quo attitude, “I’ve always done it this way and it works, so why change?” Those of us who see the need for change must encourage others to embrace change if we are going to evolve — to provide better service more efficiently.

Q. Are there any resources and/ or programs that currently support mobility management efforts?

A. Mobility management activities are now an eligible expense in FTA formula grant programs. These activities include planning, management, and improved coordination of resources, as well as staffing mobility manager positions.

Q. Where can we learn more about mobility management and implementing a mobility management plan?

A. APTA has developed presentations that address mobility management issues at APTA conferences. Other resources include:

- United We Ride
- National Transit Institute
- Project Action
- National Center on Senior Transportation
- Community Transportation Association of America and the National Resource Center for Human Service Transportation Coordination